

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Application No.: 10/829,119**

**Date Filed:** April 20, 2004  
**Title:** SYSTEMS AND METHODS FOR TRADING  
**Applicants:** Stuart A. Fraser et al.  
  
**Group Art Unit:** 3628  
**Examiner:** DASS, Harish T.

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants submit herewith patents, publications or other information of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as (i) a representation that a thorough search has been made; (ii) an admission that the information cited is, or is considered to be material to patentability; (iii) an admission that no other material information exists; or (iv) an admission that Applicants agree with any statement(s) in the information cited. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97, and 1.98. The items listed on the accompanying PTO Form-1449, Form SB08A, and Form SB08B may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application.

The Examiner is respectfully requested to fully consider the items listed on the enclosed PTO Form-1449, Form SB08A, and Form SB08B, to independently ascertain their teaching, and to initial beside each reference listed. Please return a copy of the initialed citation form to the Applicant's undersigned Attorney.

### **Fees**

No fee is believed to be due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(b)(3), before the mailing of a first Office action on the merits.

In the event that a fee is determined to be due, the Commissioner is hereby authorized to charge such fee to Deposit Account No. 50-3938.

Respectfully submitted,

August 11, 2006  
Date

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